

# FSPAMFPI04 – SQA Unit Code H5J5 04

## Facilitate an administrative service for mortgage and/or financial planning clients



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### Overview

You must be able to deal with clients as well as internal colleagues, whether you are responding to complex requests or seeking new information. You must be able to collate the necessary information from the client so that appropriate mortgage and/or financial planning solutions can be discussed, and prepare documents for use by the financial planner or mortgage adviser. You must be able to use information about the flow of business in order to identify priorities for further action, validate the appointments in the financial planner's or mortgage adviser's diary and implement accurate office administration systems. You will need to be organised and systematic in the approach to your work and keep up-to-date with the information needs of colleagues and look for ways in which you can assist. You will also need to pay attention to details that are critical to your work.

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#### Performance criteria

*You must be able to:*

- P1 Deal with complex requests for information from clients, as well as internal colleagues, within your authority
- P2 Identify requests for information about financial products and services which you are not authorised to deal with, and pass these to the appropriate person
- P3 Collate information that is sufficient for the preparation of complex quotations and illustrations
- P4 Obtain complex quotations and illustrations, within the limits of your authority, to meet the client's needs and that comply with your organisation's requirements
- P5 Prepare all necessary information for use by the financial planner or mortgage adviser as part of a client meeting
- P6 Prepare information for the attention of the client which is clear, accurate and relevant to their needs
- P7 Monitor the flow of business and identify priorities for further action
- P8 Monitor the quantity and quality of appointments in the financial planner or mortgage adviser's diary, and identify priorities for further action
- P9 Implement and maintain accurate office administration systems
- P10 Maintain accurate and up-to-date records in line with your organisation's requirements
- P11 Confirm your understanding of current business priorities, by undertaking regular contact with the financial planner or mortgage adviser and appropriate colleagues
- P12 Comply with legal requirements, industry regulations, ethical standards, organisational policies and professional codes

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#### Knowledge and understanding

*You need to know and understand:*

- K1 Your organisation's procedures for dealing with new business
- K2 The limits of your authority and the products and services you are authorised to discuss
- K3 Information required for the preparation of complex quotations and illustrations
- K4 How to obtain complex quotations and illustrations
- K5 The actions that need to be taken where further information is required
- K6 The types of documents required by the financial planner or mortgage adviser as part of a client meeting
- K7 Your organisation's procedures for monitoring the flow of business, how to interpret this information, and the actions you are required to take
- K8 How to monitor the suitability of appointments in the financial planner's or mortgage adviser's diary, and the actions you are required to take
- K9 How to implement and maintain accurate office administration systems
- K10 Your organisation's procedures for recording and storing information
- K11 Your organisation's requirements relating to the application of codes, laws and regulatory requirements, including ethical standards and health and safety as they impact on your activities
- K12 The regulatory framework within which your organisation operates.

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### **Additional Information**

#### **Behaviours**

1. You are professional and courteous when dealing with clients as well as colleagues
2. You keep confidential information secure at all times
3. You look for ways to solve complex problems
4. You are supportive of others in the achievement of common objectives
5. You take pride in delivering high quality work
6. You refer to appropriate colleagues, or your organisation's procedures if in doubt

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